



SIRA

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Search Report

EIC 3600

STIC Database Tracking Number:

To: Bijendra Shrestha
Location: Knox 4A11
Art Unit: 3691
Date: June 3, 2010
Case Serial Number:
09/967,045

From: Caryn Wesner-Early
Location: EIC3600
KNX 4B59
Phone: (571) 272-3543
caryn.wesner-early@uspto.gov

Search Notes

Dear Examiner Shrestha:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files.

I would have listed references of *potential* interest in the first part of the search results, if there had been any. However, please be sure to scan through the entire report. There may be references that you might find useful that I missed.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Caryn S. Wesner-Early, MSLS
ASRC Technical Information Specialist
EIC 3600, US Patent & Trademark Office

I. INVENTOR SEARCH RESULTS FROM DIALOG	4
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A. Abstract Databases	29
B. Full-text Databases	36
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I. Inventor Search Results from Dialog

? show files;ds;cost;logoff hold
File 139:EconLit 1969-2010/Apr
 (c) 2010 American Economic Association
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
 (c) 2002 Gale/Cengage
File 474:New York Times Abs 1969-2010/Jun 03
 (c) 2010 The New York Times
File 475:Wall Street Journal Abs 1973-2010/Jun 03
 (c) 2010 The New York Times
File 35:Dissertation Abs Online 1861-2010/Apr
 (c) 2010 ProQuest Info&Learning
File 65:Inside Conferences 1993-2010/Jun 02
 (c) 2010 BLDSC all rts. reserv.
File 99:Wilson Appl. Sci & Tech Abs 1983-2010/Mar
 (c) 2010 The HW Wilson Co.
File 256:TecTrends 1982-2010/May W5
 (c) 2010 Info.Sources Inc. All rights res.
File 2:INSPEC 1898-2010/May W3
 (c) 2010 The IET
File 634:San Jose Mercury Jun 1985-2010/Jun 02
 (c) 2010 San Jose Mercury News
File 610:Business Wire 1999-2010/Jun 03
 (c) 2010 Business Wire.
File 613:PR Newswire 1999-2010/Jun 03
 (c) 2010 PR Newswire Association Inc
File 810:Business Wire 1986-1999/Feb 28
 (c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
 (c) 1999 PR Newswire Association Inc
File 20:Dialog Global Reporter 1997-2010/Jun 03
 (c) 2010 Dialog
File 626:Bond Buyer Full Text 1981-2008/Jul 07
 (c) 2008 Bond Buyer
File 268:Banking Info Source 1981-2010/May W4
 (c) 2010 ProQuest Info&Learning
File 9:Business & Industry(R) Jul/1994-2010/Jun 02
 (c) 2010 Gale/Cengage
File 15:ABI/Inform(R) 1971-2010/Jun 02
 (c) 2010 ProQuest Info&Learning
File 16:Gale Group PROMT(R) 1990-2010/Jun 03
 (c) 2010 Gale/Cengage
File 148:Gale Group Trade & Industry DB 1976-2010/Jun 03
 (c) 2010 Gale/Cengage
File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group
 File 275:Gale Group Computer DB(TM) 1983-2010/Apr 23
 (c) 2010 Gale/Cengage
 File 621:Gale Group New Prod.Annou.(R) 1985-2010/Apr 14
 (c) 2010 Gale/Cengage
 File 636:Gale Group Newsletter DB(TM) 1987-2010/Jun 03
 (c) 2010 Gale/Cengage
 File 267:Finance & Banking Newsletters 2008/Sep 29
 (c) 2008 Dialog
 File 624:McGraw-Hill Publications 1985-2010/Jun 02
 (c) 2010 McGraw-Hill Co. Inc
 File 625:American Banker Publications 1981-2008/Jun 26
 (c) 2008 American Banker
 File 120:U.S. Copyrights 1978-2010/Jun 01
 (c) format only 2010 Dialog
 File 426:LCMARC-Books 1968-2010/May W5
 (c) format only 2010 Dialog
 File 483:Newspaper Abs Daily 1986-2010/Jun 03
 (c) 2010 ProQuest Info&Learning
 File 347:JAPIO Dec 1976-2010/Jan(Updated 100427)
 (c) 2010 JPO & JAPIO
 File 348:EUROPEAN PATENTS 1978-201021
 (c) 2010 European Patent Office
 File 349:PCT FULLTEXT 1979-2010/UB=20100527|UT=20100520
 (c) 2010 WIPO/Thomson
 File 350:Derwent WPIX 1963-2010/UD=201034
 (c) 2010 Thomson Reuters
 File 371:French Patents 1961-2002/BOPI 200209
 (c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	2666	AU=(KRAEHENBUEHL, M? OR KRAEHENBUEHL M? OR KRAEHENBUEHL(2N- (MARTIN OR MARTY) OR MUMENTHALER, C? OR MUMENTHALER C? OR MU- MENTHALER(2N)(CHRISTIAN OR CHRIS) OR WALTER, R? OR WALTER R? - OR WALTER(2N)RALPH)
S2	1193	S1 FROM 347,348,349,350,371
S3	19	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S4	4	S2 AND S3
S5	1473	S1 NOT S2
S6	15	S3 AND S5
S7	13	RD (unique items)
S8	17	S4 OR S7

8/AA,AN,AZ,AU,TI/1 (Item 1 from file: 2)
 DIALOG(R)File 2:(c) 2010 The IET. All rts. reserv.
 10352429

Title: The risk panorama: a reinsurer's view
Author(s): Mumenthaler, C.

8/AA,AN,AZ,AU,TI/2 (Item 1 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
02508576 258848111
The uneven playing field for severance-offer communications and
recommendations for employers
Sleeper, Bradley J; Walter, Robert J

8/AA,AN,AZ,AU,TI/3 (Item 2 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
02368822 121817642
Employee recruitment and retention: When company inducements trigger liability
Walter, Robert J; Sleeper, Bradley J

8/AA,AN,AZ,AU,TI/4 (Item 3 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
02296795 101346191
Protecting residential properties from Home business nuisances
Sleeper, Bradley J; Walter, Robert J

8/AA,AN,AZ,AU,TI/5 (Item 4 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
01401070 00052057
Employer liability for employee emotional distress claims
Walter, Robert J; Sleeper, Bradley J

8/AA,AN,AZ,AU,TI/6 (Item 5 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
00836803 94-86195
Employment noncompetition agreements: An update
Walter, Robert J

8/AA,AN,AZ,AU,TI/7 (Item 6 from file: 15)
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
00540983 91-15327
Negligent-Hiring Lawsuits
Walter, Robert J.

8/AA,AN,AZ,AU,TI/8 (Item 7 from file: 15)

DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.
00536796 91-11140
Protecting Your Business from Employment Negligence
Walter, Robert J.

8/AA,AN,AZ,AU,TI/9 (Item 1 from file: 148)
DIALOG(R)File 148:(c) 2010 Gale/Cengage. All rts. reserv.
10018559 SUPPLIER NUMBER: 20251739
Emotional liability for employee emotional distress claims.
Walter, Robert J.; Sleeper, Bradley J.

8/AA,AN,AZ,AU,TI/10 (Item 2 from file: 148)
DIALOG(R)File 148:(c) 2010 Gale/Cengage. All rts. reserv.
06806493 SUPPLIER NUMBER: 15237008
Employment noncompetition agreements: an update. (Symposium: Workplace Issues)
Walter, Robert J.

8/AA,AN,AZ,AU,TI/11 (Item 3 from file: 148)
DIALOG(R)File 148:(c) 2010 Gale/Cengage. All rts. reserv.
04119181 SUPPLIER NUMBER: 07986243
Potential employer liability for the disclosure of employee information.
Wells, Wayne R.; Walter, Robert; Calhoun, Robert J.

8/AA,AN,AZ,AU,TI/12 (Item 4 from file: 148)
DIALOG(R)File 148:(c) 2010 Gale/Cengage. All rts. reserv.
03235233 SUPPLIER NUMBER: 06043263
Collectively bargained benefits; mergers-acquisitions require a careful
review of benefits plans.
Walter, Robert E., Jr.

8/AA,AN,AZ,AU,TI/13 (Item 1 from file: 483)
DIALOG(R)File 483:(c) 2010 ProQuest Info&Learning. All rts. reserv.
01270432
Selling Us Short
Walter, Rochelle

8/AA,AN,AZ,AU,TI/14 (Item 1 from file: 348)
DIALOG(R)File 348:(c) 2010 European Patent Office. All rts. reserv.
01470077
ON-LINE REINSURANCE CAPACITY AUCTION SYSTEM AND METHOD
ON-LINE SYSTEM UND VERFAHREN FUR DIE VERSTEIGERUNG VON
RUCKVERSICHERUNGSKAPAZITAT

SYSTEME ET PROCEDE D'ENCHERES EN LIGNE DE CAPACITE DE REASSURANCE
INVENTOR:

KRAEHENBUEHL, Martin, Seestrasse 173, CH-8800 Thalwil, (CH)

MUMENTHALER, Christian, Im Sydefadeli 18, CH-8037 Zurich, (CH)

WALTER, Ralph, Dorfstrasse 92, CH-8800 Thalwil, (CH)

APPLICATION (CC, No, Date): EP 2001970070 011001; WO 2001IB1797 011001

PRIORITY (CC, No, Date): US 236713 P 001002

8/AA,AN,AZ,AU,TI/15 (Item 1 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01023670

METHOD OF PROVIDING A SERIES OF DISPOSABLE ABSORBENT ARTICLES TO
CONSUMERS

PROCEDE PERMETTANT D'OFFRIR A DES CONSOMMATEURS UNE SERIE D'ARTICLES
ABSORBANTS JETABLES

Inventor(s):

WALTER Rebecca Suzanne, N815 Brookview Drive, Hortonville, WI 54944, US,

8/AA,AN,AZ,AU,TI/16 (Item 2 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00896450

ON-LINE REINSURANCE CAPACITY AUCTION SYSTEM AND METHOD

SYSTEME ET PROCEDE D'ENCHERES EN LIGNE DE CAPACITE DE REASSURANCE

Patent Applicant/Inventor:

KRAEHENBUEHL Martin, Seestrasse 173, CH-8800 Thalwil, CH, CH

(Residence), CH (Nationality), (Designated only for: US)

MUMENTHALER Christian, Im Sydefadeli 18, CH-8037 Zurich, CH, CH

(Residence), CH (Nationality), (Designated only for: US)

WALTER Ralph, Dorfstrasse 92, CH-8800 Thalwil, CH, CH (Residence),

CH (Nationality), (Designated only for: US)

Application: WO 2001IB1797 20011001 (PCT/WO IB0101797)

8/AA,AN,AZ,AU,TI/17 (Item 1 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0012488158

WPI ACC NO: 2002-435363/

Selling reinsurance on-line by determining product capacity, offering
for sale through auction and ranking bids

Original Titles:

ON-LINE SYSTEM UND VERFAHREN FUR DIE VERSTEIGERUNG VON

RUCKVERSICHERUNGSKAPAZITAT

ON-LINE REINSURANCE CAPACITY AUCTION SYSTEM AND METHOD

SYSTEME ET PROCEDE D'ENCHERES EN LIGNE DE CAPACITE DE REASSURANCE

Online reinsurance capacity auction system and method

SYSTEME ET PROCEDE D'ENCHERES EN LIGNE DE CAPACITE DE REASSURANCE

Local Applications (No Type Date): WO 2001IB1797 A 20011001; US
2000236713 P 20001002; US 2001967045 A 20011001; AU 200190186 A
20011001; EP 2001970070 A 20011001; WO 2001IB1797 A 20011001; CN
2001816581 A 20011001; WO 2001IB1797 A 20011001; JP 2002533151 A
20011001; WO 2001IB1797 A 20011001; IN 2003DN439 A 20030325
Priority Applications (no., kind, date): US 2000236713 P 20001002; US
2001967045 A 20011001

8/3,K/1 (Item 1 from file: 2)
DIALOG(R)File 2:INSPEC
(c) 2010 The IET. All rts. reserv.

10352429

Title: The risk panorama: a reinsurer's view
Author(s): Mumenthaler, C.
Author Affiliation: Swiss Re, Zurich, Switzerland
Inclusive Page Numbers: 36-41
Publisher: ETH Honggerberg, Zurich
Country of Publication: Switzerland
Publication Date: 2006
Conference Title: Structures and Extreme Events. IABSE Symposium
Conference Date: 14-17 Sept. 2005
Conference Location: Lisbon, Portugal
ISBN: 3 85748 112 9
Number of Pages: xxi+419
Language: English
Subfile(s): E (Mechanical & Production Engineering)
INSPEC Update Issue: 2007-012
Copyright: 2007, The Institution of Engineering and Technology
Author(s): Mumenthaler, C.
Abstract: ...risks emanating from the complexity of technology and natural perils are also important for the insurance and reinsurance of construction projects, this line of business is well established. Professional reinsurers assess the risks...

Descriptors: construction; insurance; risk analysis; terrorism

8/3,K/14 (Item 1 from file: 348)
DIALOG(R)File 348:EUROPEAN PATENTS
(c) 2010 European Patent Office. All rts. reserv.

01470077

ON-LINE REINSURANCE CAPACITY AUCTION SYSTEM AND METHOD
ON-LINE SYSTEM UND VERFAHREN FUR DIE VERSTEIGERUNG VON
RUCKVERSICHERUNGSKAPAZITAT
SYSTEME ET PROCEDE D'ENCHERES EN LIGNE DE CAPACITE DE REASSURANCE
PATENT ASSIGNEE:

Swiss Reinsurance Company, (4077550), Mythenquai 50/60, 8022 Zurich
, (CH), (Applicant designated States: all)

INVENTOR:

KRAEHEBUEHL, Martin, Seestrasse 173, CH-8800 Thalwil, (CH)
MUMENTHALER, Christian, Im Sydefadeli 18, CH-8037 Zurich, (CH)
WALTER, Ralph, Dorfstrasse 92, CH-8800 Thalwil, (CH)

LEGAL REPRESENTATIVE:

Johansson, Lars-Erik et al (9205661), Hynell Patenttjanst AB Patron

Carls vag 2, 683 40 Hagfors / Uddeholm, (SE)
PATENT (CC, No, Kind, Date): EP 1348186 A1 031001 (Basic)
WO 2002029650 020411
APPLICATION (CC, No, Date): EP 2001970070 011001; WO 2001IB1797 011001
PRIORITY (CC, No, Date): US 236713 P 001002
DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;
LU; MC; NL; PT; SE; TR
EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI
INTERNATIONAL PATENT CLASS (V7): G06F-017/60
NOTE:
No A-document published by EPO
LANGUAGE (Publication,Procedural,Application): English; English; English
PATENT ASSIGNEE:
Swiss Reinsurance Company...

II. Text Search Results from Dialog - Patents

A. Abstract Databases

? show files;ds;cost;logoff hold

File 347:JAPIO Dec 1976-2010/Jan(Updated 100427)

(c) 2010 JPO & JAPIO

File 350:Derwent WPIX 1963-2010/UD=201034

(c) 2010 Thomson Reuters

File 371:French Patents 1961-2002/BOPI 200209

(c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	13608	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S2	13608	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S3	231	AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING - OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-)(SYSTEM OR SYSTEMS OR SERVICE)
S4	1828	BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE OR INDICATOR OR INDEX
S5	284	(S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PRESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2-N)(PRICE OR VALUE OR VALUATION)
S6	2537	VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERMINED?? OR PROPORTIONA??
S7	823	RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR PROPORTION OR SHARE
S8	58	S2(5N)S3
S9	4	S5(7N)S6(7N)S7
S10	0	S8(S)S9
S11	0	S2(S)S3(S)S4(S)S5(S)S6(S)S7
S12	1	S2(S)S3(S)(S5 OR S6)(S)S7
S13	9	S2 AND S3 AND (S5 OR S6) AND S7
S14	12	S8 AND (S5 OR S6 OR S7)
S15	0	REINSURANCE AND (REFERENCE OR INDEX) AND RATIO
S16	104	S2(S)(S5 OR S6)(S)S7
S17	0	S8(S)S16
S18	3	S9(S)S16
S19	36	S2(10N)(S5 OR S6)(10N)S7
S20	35	S19 AND IC=(G06F OR G06Q)
S21	1	S3(S)S16
S22	35	IDPAT S20 (sorted in duplicate/non-duplicate order)
S23	34	IDPAT S20 (primary/non-duplicate records only)

23/AN,AZ,TI/1 (Item 1 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0020280143
Intellectual property insurance regulatory risk evaluation management system, has risk factor management module for managing risk factor, and risk management implementing module calculating value of risk generated by risk factor
Original Titles:
Intellectual property insurance regulatory risk evaluation management system and method
Local Applications (No Type Date): CN 200810214348 A 20080902
Priority Applications (no., kind, date): CN 200810214348 A 20080902

23/AN,AZ,TI/2 (Item 2 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019660883
Spreadsheet for designing variable life insurance, has save graph domain in which reserving detail of subscriber is output, based on finance targeted information and operation yield ratio with accumulation period
Original Titles:
A Spread sheet for designing a variable insurance
Local Applications (No Type Date): KR 200811232 A 20080204
Priority Applications (no., kind, date): KR 200811232 A 20080204

23/AN,AZ,TI/3 (Item 3 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019588415
Online loan brokerage service providing system, has lender terminal connected to loan broker site, and on-line loan agent server controlling loan request information transmitted through loan broker site
Original Titles:
The on-line loaning relay system and method thereof.
Local Applications (No Type Date): KR 200828490 A 20080327
Priority Applications (no., kind, date): KR 200828490 A 20080327

23/AN,AZ,TI/4 (Item 4 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019442866
Insurance premium determination assistance apparatus mounted in e.g. two-wheeled motor vehicle, updates evaluation of discount of stored grade with respect to driver, to insurance premium of motor vehicle insurance
Original Titles:
An insurance premium determination assistance apparatus and a computer program
Local Applications (No Type Date): JP 200837854 A 20080219
Priority Applications (no., kind, date): JP 200837854 A 20080219

23/AN,AZ,TI/5 (Item 5 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019360236
Investment system for use over Internet, has multiple force life insurance policies provided by insureds, where portion or all death benefits is provided by life insurance policies upon deaths of insureds
Original Titles:
Systems and methods for investing
Local Applications (No Type Date): US 2009322259 A 20090130; US 200863282 P 20080201
Priority Applications (no., kind, date): US 200863282 P 20080201; US 2009322259 A 20090130

23/AN,AZ,TI/6 (Item 6 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019345241
Trustee servicing program product for public pension system, has set of instructions to initiate communication of actuarial present value of pool or actuarial present value for undivided interest held by public pension system in pool
Original Titles:
Method of enhancing value of pension system assets
Local Applications (No Type Date): US 2009383369 A 20090323; US 200551473 A 20050207; US 2003636125 A 20030807
Priority Applications (no., kind, date): US 2003636125 A 20030807; US 200551473 A 20050207; US 2009383369 A 20090323

23/AN,AZ,TI/7 (Item 7 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0019234802
Group life insurance underwriting method for use by e.g. actuary, involves setting premium at number between alternative pricing model's price and expected group disability exposure, and offering group life insurance coverage at premium
Original Titles:
Computerized medical underwriting of group life insurance using medical claims data
Local Applications (No Type Date): US 2006491325 A 20060721; US 2005701311 P 20050721
Priority Applications (no., kind, date): US 2005701311 P 20050721; US 2006491325 A 20060721

23/AN,AZ,TI/8 (Item 8 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0018956599
Real estate sale finance evaluation system for financial institution, has cash flow analyzing unit setup with stress information based on stress scenario and analyzing cash flow of stress situation based on stress information

Original Titles:

System and Method for Evaluating Real Estate Finance for Sale and Program Recording Medium

Local Applications (No Type Date): KR 200752376 A 20070529

Priority Applications (no., kind, date): KR 200752376 A 20070529

23/AN,AZ,TI/9 (Item 9 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0018591579

Method for reducing insurance costs for drug to insurer and consumer, involves determining co-pay based on predetermined percentage of price of drug purchased from selected lower cost retail pharmacy

Original Titles:

Method of Reducing Insurance Costs

Local Applications (No Type Date): US 2007946626 P 20070627; US

2008142561 A 20080619

Priority Applications (no., kind, date): US 2007946626 P 20070627; US

2008142561 A 20080619

23/AN,AZ,TI/10 (Item 10 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0017726835

Method for evaluating coal ash characteristics by using a difference of a solubility of the coal ash in order to prevent power plant boiler slagging

Original Titles:

The Fly ash feature evaluating method for the powerhouse boiler time prevention of adhesion.

Local Applications (No Type Date): KR 200646573 A 20060524; KR 200646573

A 20060524

Priority Applications (no., kind, date): KR 200646573 A 20060524

23/AN,AZ,TI/11 (Item 11 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0016906819

Certificate of deposit securitization method for financial transaction of security certificate of deposits includes providing automated entry and clearing platform to facilitate banking transactions

Original Titles:

METHODS AND SYSTEMS FOR THE SECURITIZATION OF CERTIFICATES OF DEPOSIT

Local Applications (No Type Date): US 2003520411 P 20031113; US

2003526124 P 20031201; US 2004990160 A 20041115; US 2007679607 A 20070227

Priority Applications (no., kind, date): US 2003520411 P 20031113; US

2003526124 P 20031201; US 2004990160 A 20041115; US 2007679607 A 20070227

23/AN,AZ,TI/12 (Item 12 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0016764246
Time-limit insurance contract system for e.g. hotel, has insurance contract management apparatus that transmits insurance-premium information to management terminal
Local Applications (No Type Date): JP 2005317641 A 20051031
Priority Applications (no., kind, date): JP 2005317641 A 20051031

23/AN,AZ,TI/13 (Item 13 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0016502110
Permanent life insurance policy sustainability assessment method involves generating and calculating percentage of multiple of trial illustrations that sustain through pre-determined period of time
Original Titles:
Method and computer program for evaluating the sustainability of a permanent life insurance policy
Local Applications (No Type Date): US 2005172541 A 20050630
Priority Applications (no., kind, date): US 2005172541 A 20050630

23/AN,AZ,TI/14 (Item 14 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0016467307
Life settlement method for life insurance program involves determining settlement payout goal based on economic circumstances of insured person
Original Titles:
Tax factored method of purchasing life settlement policies
TAX FACTORED METHOD OF PURCHASING LIFE SETTLEMENT POLICIES
PROCEDE D'ACHAT DE POLICES D'ASSURANCE VIE PONDERE PAR DES TAXES
Local Applications (No Type Date): US 2005155443 A 20050617; WO 2006US23187 A 20060615
Priority Applications (no., kind, date): US 2005155443 A 20050617

23/AN,AZ,TI/15 (Item 15 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0016344750
Calculation method for social insurance premiums of worker involves performing comparison of size of determination of social insurance premiums burden rate in total at year of total provision pay monthly amount of worker
Local Applications (No Type Date): JP 2005124851 A 20050422
Priority Applications (no., kind, date): JP 2005124851 A 20050422

23/AN,AZ,TI/16 (Item 16 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0016007050
Health insurance plan business managing method, involves calculating amount of expenditure of group using credit card, and increasing amount of funds that are available to group in medical savings account
Original Titles:
A method of managing the business of a health insurance plan and a system
Method of Managing the Business of a Health Insurance Plan and a System Therefor
PROCEDE DE GESTION DE L'ACTIVITE COMMERCIALE D'UN PLAN D'ASSURANCE SANTE ET SYSTEME ASSOCIE
Local Applications (No Type Date): WO 2005IB3842 A 20051221; AU 2005323847 A 20051221; WO 2005IB3842 A 20051221; IN 2007DN5453 A 20070713; CN 200580047059 A 20051221; WO 2005IB3842 A 20051221; US 2005642452 P 20050107; WO 2005IB3842 A 20051221; US 2008794830 A 20080122; ZA 20075822 A 20051221
Priority Applications (no., kind, date): US 2005642452 P 20050107; US 2008794830 A 20080122

23/AN,AZ,TI/17 (Item 17 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0015646496
Distributed business entity capitalizing method in investment and insurance transaction fields, involves allocating determined profits to qualified investors based on respective percentage ownership interest in distributed offices
Original Titles:
Method of capitalizing a distributed business entity and allocating profits thereof
Local Applications (No Type Date): US 2004925975 A 20040826
Priority Applications (no., kind, date): US 2004925975 A 20040826

23/AN,AZ,TI/18 (Item 18 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0015411340
Risk e.g. mortality risk, characterizing method for use in insurance company, involves identifying risk classes, dividing expected occurrence rates by average rate, and comparing risk ratios to characterize relative risks
Original Titles:
COMPUTERGESTUTZTES SYSTEM UND VERFAHREN ZUR AUTOMATISIERTEN RISIKOPARAMETERERKENNUNG UND/ODER -CHARAKTERISIERUNG
COMPUTERIZED PROTECTION SYSTEM AND METHOD FOR AUTOMATICALLY IDENTIFYING AND/OR CHARACTERIZING RISK PARAMETERS
SYSTEME A PROTECTION INFORMATIQUE ET PROCEDE POUR REALISER UNE RECONNAISSANCE ET/OU CARACTERISATION AUTOMATIQUE DE PARAMETRES DE RISQUE
System and method for evaluating preferred risk definitions

Local Applications (No Type Date): US 2004816120 A 20040401; WO 2004EP51830 A 20040818; EP 2004766531 A 20040818; WO 2004EP51830 A 20040818; US 2004816120 A 20040401; WO 2004EP51830 A 20040818; US 2008594993 A 20080411

Priority Applications (no., kind, date): US 2004816120 A 20040401; US 2008594993 A 20080411

23/AN,AZ,TI/19 (Item 19 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0015247290

Program product for operating as trustee of pension system assets, has set of program codes generating actuarial value of undivided interest in periodic basis and communicating insurance contracts to one pension fund
Original Titles:

Method of enhancing value of pension system assets
PROCEDE D'AMELIORATION DE LA VALEUR D'ACTIFS D'UN SYSTEME DE PENSIONS
Local Applications (No Type Date): US 2003636125 A 20030807; US 200551473 A 20050207; WO 2005US3825 A 20050207; US 2003636125 A 20030807; US 200551473 A 20050207

Priority Applications (no., kind, date): US 2003636125 A 20030807; US 200551473 A 20050207; WO 2005US3825 A 20050207

23/AN,AZ,TI/20 (Item 20 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0014311174

Failure probability determination method for use in e.g. life insurance company, involves creating percentage array based on random variable and shape, scale parameters at preset location of probability array
Original Titles:

Method of determining a cumulative distribution function confidence bound
Local Applications (No Type Date): US 2000209676 P 20000606; US 2001875754 A 20010606

Priority Applications (no., kind, date): US 2000209676 P 20000606; US 2001875754 A 20010606

23/AN,AZ,TI/21 (Item 21 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0014117267

Information processing method for insurance sales, involves determining allocation ratio of performance of sales commission with respect to sales partner and agency, based on attribute of acquired insurance contract data
Original Titles:

METHOD AND SYSTEM FOR PROCESSING INFORMATION FOR ALLOCATION OF BUSINESS RESULTS OF INSURANCE OR SALE COMMISSION

Local Applications (No Type Date): JP 2003312132 A 20030904

Priority Applications (no., kind, date): JP 2002258438 A 20020904

23/AN,AZ,TI/22 (Item 22 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0013505083

Flexible premium life insurance contracts administration method

e.g. for modified endowment contracts, involves calculating asset charge as

percentage of account value of contract equal to or greater than cost of insurance charge

Original Titles:

Simplified variable life insurance

Local Applications (No Type Date): US 2001313742 P 20010821; US

2002218543 A 20020814

Priority Applications (no., kind, date): US 2001313742 P 20010821; US

2002218543 A 20020814

23/AN,AZ,TI/23 (Item 23 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0012506292

Insurance rates and insurance premiums reduction method for financial

product, involves adding discount point amount to amount of financial

product, to reduce product interest rate

Original Titles:

System and method for reducing mortgage interest rate and mortgage guaranty

insurance premiums associated with a mortgage loan

SYSTEME ET UN PROCEDE POUR REDUIRE LE TAUX D'INTERET HYPOTHECAIRE ET LES

PRIMES D'ASSURANCE DE GARANTIE D'HYPOTHEQUE ASSOCIEE A UN PRET

HYPOTHECAIRE

Local Applications (No Type Date): US 2000249422 P 20001116; US

2001861136 A 20010518; WO 2001US16237 A 20010518; AU 200163302 A

20010518; US 2001861136 A 20010518

Priority Applications (no., kind, date): US 2000249422 P 20001116; US

2001861136 A 20010518

23/AN,AZ,TI/24 (Item 24 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.

0012458080

Life insurance policy value administration method involves determining

performance fee for each investment unit, when performance return of each

unit determined at specified time period is positive

Original Titles:

Method and system for tracking, reconciling and administering fees and

costs in investment-based variable life insurance value

Local Applications (No Type Date): US 2000214076 P 20000626; US

2001891978 A 20010626

Priority Applications (no., kind, date): US 2000214076 P 20000626; US

2001891978 A 20010626

23/AN,AZ,TI/25 (Item 25 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0012293116
Method for operating cyber money in internet site
Local Applications (No Type Date): KR 200023021 A 20000428
Priority Applications (no., kind, date): KR 200023021 A 20000428

23/AN,AZ,TI/26 (Item 26 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0012254670
Computer system for insurance company, determines participation rate at any successive time period, using predefined relation
Original Titles:
System for analyzing and managing equity participation life insurance and annuity contracts.
Local Applications (No Type Date): US 1994183834 A 19940121; US 1996769798 A 19961219; US 1999475163 A 19991230
Priority Applications (no., kind, date): US 1994183834 A 19940121; US 1996769798 A 19961219; US 1999475163 A 19991230

23/AN,AZ,TI/27 (Item 27 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0011214812
Environmental liability evaluating apparatus for potentially responsible parties, determines anticipated liability of potentially responsible parties and insurers in response to state adjustment factor
Original Titles:
System and method for evaluating liability.
Local Applications (No Type Date): US 1998169424 A 19981009
Priority Applications (no., kind, date): US 1998169424 A 19981009

23/AN,AZ,TI/28 (Item 28 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0010953111
Method for offering stock insurance service capable of changing to asset
Original Titles:
METHOD FOR PROVIDING STOCK INSURANCE SERVICE HAVING ASSET FLUCTUATION
Method for providing assets fluctuation stock insurance services
Local Applications (No Type Date): KR 200025855 A 20000515; US 2001851308 A 20010508; JP 2001144444 A 20010515; CN 2001116067 A 20010514; SG 20012884 A 20010515; KR 200025855 A 20000515
Priority Applications (no., kind, date): KR 200025855 A 20000515

23/AN,AZ,TI/29 (Item 29 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0010882561
Insurance policy computer system that administers equity related life insurance policies on behalf of insurance company controls and compares assets and liabilities relative to changes in stock prices
Original Titles:
SYSTEM FOR ANALYZING AND MANAGING EQUITY PARTICIPATION LIFE INSURANCE AND ANNUITY CONTRACTS
SYSTEME D'ANALYSE ET DE GESTION DE CONTRATS D'ASSURANCE-VIE ET DE CONTRATS DE RENTE AVEC PARTICIPATION A LA CAPITALISATION
Local Applications (No Type Date): WO 2000US34761 A 20001221; AU 200124458 A 20001221
Priority Applications (no., kind, date): US 1999475163 A 19991230

23/AN,AZ,TI/30 (Item 30 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0010846830
Decision support providing method for decision support system for financial products, involves dimensioning selected subset of data in response to dimension selection received from user
Original Titles:
Decision support system and methodology with multi-dimensional analysis
SYSTEM UND METHODOLOGIE FUR DIE ENTSCHEIDUNGSHILFE MIT EINER MEHRDIMENSIONALEN ANALYSE
SYSTEME ET METHODOLOGIE D'AIDE A LA DECISION PAR ANALYSE MULTIDIMENSIONNELLE
Local Applications (No Type Date): WO 2000US34033 A 20001215; AU 200121049 A 20001215; EP 2000984428 A 20001215; WO 2000US34033 A 20001215; WO 2000US34033 A 20001215; JP 2001550597 A 20001215; AU 200121049 A 20001215; AU 2005203755 A 20050819; WO 2000US34033 A 20001215; IN 2002KN817 A 20020618; AU 200121049 A 20001215; AU 2005203755 A 20050819
Priority Applications (no., kind, date): US 1999474772 A 19991230; AU 2005203755 A 20050819

23/AN,AZ,TI/31 (Item 31 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0010023680
Computer system for analyzing and managing life insurance policies and annuity contracts in which account value varies of value rate or at floor rate based on predetermined condition
Original Titles:
System for managing hedged investments for life insurance companies.
Local Applications (No Type Date): US 1994183834 A 19940121; US 1996769798 A 19961219

Priority Applications (no., kind, date): US 1994183834 A 19940121; US 1996769798 A 19961219

23/AN,AZ,TI/32 (Item 32 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0009968141
Accounts updating method in insurance company, involves transferring premium due from beneficiary account to insurance policy account automatically and updating corresponding accounts
Original Titles:
Method and system for processing and recording the transactions in a medical savings fund account.
Local Applications (No Type Date): US 1996584898 A 19960111
Priority Applications (no., kind, date): US 1996584898 A 19960111

23/AN,AZ,TI/33 (Item 33 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0009829827
Segmentation procedure of motor vehicle insurance database - involves setting up rate of discount and rate of premium for each segment
Original Titles:
CONTRACTOR SEGMENTATION METHOD
Local Applications (No Type Date): JP 1998160210 A 19980609
Priority Applications (no., kind, date): JP 1998160210 A 19980609

23/AN,AZ,TI/34 (Item 34 from file: 350)
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.
0009322642
Loss control system for insurance classification plan
Original Titles:
Insurance classification plan loss control system.
Local Applications (No Type Date): US 1996665663 A 19960620
Priority Applications (no., kind, date): US 1996665663 A 19960620

B. Full-Text Databases

? show files;ds;cost;logoff hold

File 348:EUROPEAN PATENTS 1978-201021

(c) 2010 European Patent Office

File 349:PCT FULLTEXT 1979-2010/UB=20100527|UT=20100520

(c) 2010 WIPO/Thomson

Set	Items	Description
S1	13041	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S2	13041	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S3	1327	AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING - OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-) (SYSTEM OR SYSTEMS OR SERVICE)
S4	11745	BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE OR INDICATOR OR INDEX
S5	1831	(S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PRESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2- N)(PRICE OR VALUE OR VALUATION)
S6	10775	VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERMINED?? OR PROPORTIONA??
S7	7094	RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR PROPORTION OR SHARE
S8	75	S2(5N)S3
S9	18	S5(7N)S6(7N)S7
S10	0	S8(S)S9
S11	13	S2(S)S3(S)S5(S)S6(S)S7
S12	4	S11(S)(S8 OR S9)
S13	12	S11 AND IC=(G06F OR G06Q)
S14	12	IDPAT (sorted in duplicate/non-duplicate order)
S15	12	IDPAT (primary/non-duplicate records only)

15/AN,AZ,TI/1 (Item 1 from file: 349)
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.
01551473
VIRTUAL ENVIRONMENT WITH BINDING CONTRACTS BETWEEN PLAYERS
ENVIRONNEMENT VIRTUEL COMPORTANT DES CONTRATS D'OBLIGATION ENTRE JOUEURS
Application: WO 2007US62119 20070214 (PCT/WO US2007062119)

15/AN,AZ,TI/2 (Item 2 from file: 349)
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01331950

PRIVATE CONSTANT-DOLLAR FINANCIAL PRODUCT SYSTEM

SYSTEME A PLUSIEURS ORDINATEURS PRENANT EN CHARGE UN PRODUIT FINANCIER
PRIVE EN DOLLARS CONSTANTS

Application: WO 2004US21933 20040706 (PCT/WO US2004021933)

15/AN,AZ,TI/3 (Item 3 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01331018

MULTIPLE COMPUTER SYSTEM SUPPORTING A PRIVATE CONSTANT-DOLLAR FINANCIAL
PRODUCT

SYSTEME A ORDINATEURS MULTIPLES PRENANT EN CHARGE UN PRODUIT FINANCIER
PRIVE EXPRIME EN DOLLARS CONSTANTS

Application: WO 2005US23864 20050705 (PCT/WO US2005023864)

15/AN,AZ,TI/4 (Item 4 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01213391

ENHANCED PARIMUTUEL WAGERING

PARI DU TYPE PARI MUTUEL AMELIORE

Application: WO 2004US25434 20040806 (PCT/WO US2004025434)

15/AN,AZ,TI/5 (Item 5 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01197286

REPLICATED DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND
TRADING EXCHANGE THEREFOR

PRODUITS DERIVES REPLIQUES A RENDEMENTS AJUSTABLES, BASES SUR LA
DEMANDE, ET ECHANGES COMMERCIAUX ASSOCIES

Application: WO 2004US4553 20040211 (PCT/WO US2004004553)

15/AN,AZ,TI/6 (Item 6 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01056423

DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING
EXCHANGE THEREFOR

PRODUITS DERIVES PRESENTANT DES RENDEMENTS AJUSTABLES BASES SUR LA
DEMANDE ET ECHANGES COMMERCIAUX ASSOCIES

Application: WO 2003US7990 20030313 (PCT/WO US03007990)

15/AN,AZ,TI/7 (Item 7 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00994559

DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING
EXCHANGE THEREFOR

OPTIONS NUMERIQUES A RETOURS AJUSTABLES BASEES SUR LA DEMANDE ET
BOURSE D'ECHANGES COMMERCIAUX AFFERENTE

Application: WO 2002US30309 20020909 (PCT/WO US02030309)

15/AN,AZ,TI/8 (Item 8 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00942062

DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING
EXCHANGE THEREFOR

OPTIONS NUMERIQUES COMPORTANT DES RETOURS AJUSTABLES A BASE DE DEMANDE
ET BOURSE D'ECHANGE A CET EFFET

Application: WO 2002US7480 20020311 (PCT/WO US0207480)

15/AN,AZ,TI/9 (Item 9 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00933152

EXTENDED WEB ENABLED MULTI-FEATURED BUSINESS TO BUSINESS COMPUTER
SYSTEM FOR RENTAL VEHICLE SERVICES

SYSTEME INFORMATIQUE ETENDU ENTRE ENTREPRISES, A FONCTIONS MULTIPLES,
FONCTIONNANT SUR LE WEB, POUR DES SERVICES DE LOCATION DE VEHICULES

Application: WO 2001US51437 20011019 (PCT/WO US0151437)

Parent Application/Grant:

Related by Continuation to: US 2000694050 20001020 (CIP)

15/AN,AZ,TI/10 (Item 10 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00899532

METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR PRIVATE OFFERING,
AND SECONDARY MARKET TRADING OF RISK MANAGEMENT CONTRACTS

PROCEDES ET SYSTEME POUR LA FORMULATION DE PREMIERES OFFRES PUBLIQUES
OU PRIVEES ET LA NEGOCIATION DE MARCHE SECONDAIRE POUR DES CONTRATS DE
GESTION DE RISQUES

Application: WO 2001US32275 20011015 (PCT/WO US0132275)

15/AN,AZ,TI/11 (Item 11 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00873783

INSTALLATION AND METHOD FOR TRADING IN INFLATION

INSTALLATION ET PROCEDE DE NEGOCIATION EN SITUATION D'INFLATION

Application: WO 2000NL499 20000717 (PCT/WO NL0000499)

15/AN,AZ,TI/12 (Item 12 from file: 349)
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.
00774517
FINANCIAL PRODUCTS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND
TRADING EXCHANGE THEREFOR
PRODUITS FINANCIERS AYANT DES RECETTES AJUSTABLES, FONCTION DE LA
DEMANDE, ET ECHANGES COMMERCIAUX CORRESPONDANT
Application: WO 2000US19447 20000718 (PCT/WO US0019447)

15/3,K/10 (Item 10 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2010 WIPO/Thomson. All rts. reserv.

00899532 **Image available**

METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR PRIVATE OFFERING,
AND SECONDARY MARKET TRADING OF RISK MANAGEMENT CONTRACTS
PROCEDES ET SYSTEME POUR LA FORMULATION DE PREMIERES OFFRES PUBLIQUES
OU PRIVEES ET LA NEGOCIATION DE MARCHE SECONDAIRE POUR DES CONTRATS DE
GESTION DE RISQUES

Patent Applicant/Assignee:

PARETO PARTNERS LTD, 7 Thistle, Portola Valley, CA 94028, US, US
(Residence), US (Nationality)

Inventor(s):

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YEE Kenton K, 180 Riverside Boulevard, Apt. 33F at Trump Place, New York,
NY 10069, US,

Legal Representative:

NIXON Dale B (et al) (agent), Suite 3400, 717 North Harwood, Dallas, TX 75201, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200233627 A2 20020425 (WO 0233627)

Application: WO 2001US32275 20011015 (PCT/WO US0132275)

Priority Application: US 2000240903 20001017; US 2001284051 20010416; US
2001923035 20010806

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL
TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 33670

Main International Patent Class (v7): G06F-017/60

Fulltext Availability:

Detailed Description

Claims

... contracts to the Brazilian firm at the 1 5 market price. The futures
prices are **determined** by market forces and are fully liquid.
Moreover, prices of the various contracts inform Nike...

...a steady cash flow.

ExaMple 3: Risk-sharing Management

Firms A, B, and C are **insurance** companies that are liable for \$1.0

billion of housing reconstruction in event of an...both the German seller - 66 and the Brazilian buyer benefits. In other words, the outlets share in the more efficient allocation of the shoes through trading the futures. One of ordinary...

...of risk instruments which can be traded there.

I 0 H, DESCRIPTION OF THE CONTRACT TRADING SYSTEM AND THE PIECES OF THE SYSTEM

As noted in the summary of the invention, an...personnel for approval. Upon approval, the new instrument is preferably immediately listed in the portal, trading, and clearing systems, however, the system can also provide for a delayed listing of new instruments. For example...

...Last Trading Date

0 Settlement Date: e,g., 2 Days After Expiration Date

0 Expiration Value

0 Settlement Value

0 Settlement Method

The market authority 500 contains two additional applications: an Administrative Application 520 and a which the trading system communicates with the Settlement Bank 694 (See also FIG. 7). The Settlement Interface System 696...

III. Text Search Results from Dialog - NPL

A. Abstract Databases

? show files;ds;cost;logoff hold

File 139:EconLit 1969-2010/Apr

(c) 2010 American Economic Association

File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13

(c) 2002 Gale/Cengage

File 474:New York Times Abs 1969-2010/Jun 03

(c) 2010 The New York Times

File 475:Wall Street Journal Abs 1973-2010/Jun 03

(c) 2010 The New York Times

File 35:Dissertation Abs Online 1861-2010/Apr

(c) 2010 ProQuest Info&Learning

File 65:Inside Conferences 1993-2010/Jun 02

(c) 2010 BLDSC all rts. reserv.

File 99:Wilson Appl. Sci & Tech Abs 1983-2010/Mar

(c) 2010 The HW Wilson Co.

File 256:TecTrends 1982-2010/May W5

(c) 2010 Info.Sources Inc. All rights res.

File 2:INSPEC 1898-2010/May W3

(c) 2010 The IET

Set Items Description

S1 216814 INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR -
RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)

S2 216814 INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR -
RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)

S3 1714 AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING -
OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-
) (SYSTEM OR SYSTEMS OR SERVICE)

S4 12305 BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE
OR INDICATOR OR INDEX

S5 506 (S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PR-
ESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2-
N)(PRICE OR VALUE OR VALUATION)

S6 6485 VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE
OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERM-
INED?? OR PROPORTIONA??

S7 18893 RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR
PROPORTION OR SHARE

S8 111 S2(5N)S3

S9 0 S5(7N)S6(7N)S7

S10 0 S8(S)S9

S11 0 S2(S)S3(S)S4(S)S5(S)S6(S)S7

S12 3 S2(S)S3(S)(S5 OR S6)(S)S7

S13 38 S2(S)S3(S)(S5 OR S6 OR S7)
S14 38 S12 OR S13
S15 26 S14 NOT (PY>2000 OR PD=20001003:20001231)
S16 25 RD (unique items)

16/6/1 (Item 1 from file: 139)
472157
TITLE: The Role of ROSCAs: Lumpy Durables or Event Insurance?
PUBLICATION DATE: 1998

16/6/2 (Item 1 from file: 583)
09299144
QXL chief calls for change as NI rules hit profits
UK: QXL ANNOUNCES RESULTS
01 Jun 2000

16/6/3 (Item 2 from file: 583)
09293209
Reverse auction in home loans a hit in HK
SINGAPORE: DOLLARDEX.COM TO EXPAND ABROAD
22 May 2000

16/6/4 (Item 3 from file: 583)
09253269
Shares on WAP
UK: TD WATERHOUSE AND BT IN WAP SHARE DEAL
15 Mar 2000

16/6/5 (Item 4 from file: 583)
09249852
1999 goes down as record year for Bank America (Asia)
HONG KONG: BA POSTS \$721MN PROFITS IN 1999
10 Mar 2000

16/6/6 (Item 5 from file: 583)
09191469
Dead and buried, or alive and kicking?
UK: LLOYD'S TO EXPAND IN THE MARKET PLACE
03 Sep 1999

16/6/7 (Item 6 from file: 583)

09140218
Sinkende Geb hren gefUhrden Gewinne der Online-Broker
GERMANY: ONLINE BROKERAGE MARKET GROWING FAST
02 Aug 1999

16/6/8 (Item 7 from file: 583)
06500464
Cox seeks greater stake
UK: COX INSURANCE OFFER CASH
24 Jul 1997

16/6/9 (Item 8 from file: 583)
06326936
Eesti Kindlustus erastatakse kolmapUeval
ESTONIA: PRIVATISATION OF EESTI KINDLUSTUS
17 Jun 1996

16/6/10 (Item 9 from file: 583)
06174930
Lloyd's in auctions pledge
UK: MEMBERSHIP CHANGES AND AUCTIONS AT LLOYD'S
07 Jul 1995

16/6/11 (Item 10 from file: 583)
06134444
VIETNAM TESTS T-BILLS
VIETNAM: VIETNAM TO RAISE \$ 350 MN IN 1995
Mar 1995

16/6/12 (Item 11 from file: 583)
06021778
Sales value of new cars overtaken by used market
UK: SECOND HAND CAR MARKET LARGER THAN NEW ONE
25 Jul 1994

16/6/13 (Item 12 from file: 583)
05708072
Birth of a hundred markets
RUSSIA - FIRST ELECTRONIC TRADING ROOM TO OPEN
23 February 1993

16/6/14 (Item 13 from file: 583)
05654201
Japanese urged to open markets
JAPAN - UK CALLS FOR MORE OPEN MARKETS
27 January 1993

16/6/15 (Item 14 from file: 583)
05446330
Portugal's Mello Group Recovers Firm Lost to 1974/
PORTUGAL - MELLO GROUP REGAINS CONTROL OF IMPERIO
18 November 1992

16/6/16 (Item 15 from file: 583)
05054248
MCC fortunes boosted by new signings
UK - THE EXCHANGE AWARDS CONTRACT TO MCC
0 April 1992

16/6/17 (Item 16 from file: 583)
04356054
BCM TO CONTROL SEGUROS BONANCA
PORTUGAL - BCM TO CONTROL SEGUROS BONANCA
27 June 1991

16/6/18 (Item 17 from file: 583)
04354564
STRONG DEMAND FOR PORTUGUESE INSURER'S SHARES
PORTUGAL - STRONG DEMAND FOR PORTUGUESE INSURER'S SHARES
26 June 1991

16/6/19 (Item 18 from file: 583)
04230067
EUROPEAN FINANCE AND INVESTMENT SLOW BUT STEADY
PORTUGAL - EUROPEAN FINANCE AND INVESTMENT SLOW BUT STEADY
23 April 1991

16/6/20 (Item 19 from file: 583)
04190284
FOREIGNERS HOLD 30-40% OF LISTED COMPANIES
SWITZERLAND - FOREIGNERS HOLD 30-40% OF LISTED COMPANIES
30 March 1991

16/6/21 (Item 1 from file: 474)
07672968 NYT Sequence Number: 813710990318
COMPANY NEWS: INSURANCE AUTO REJECTS COPART BID AND ITS SHARES RISE
Thursday March 18 1999

16/6/22 (Item 1 from file: 35)
01644394 ORDER NO: AADNQ-27180
BANKING ON EVENT STUDIES: STATISTICAL PROBLEMS, A BOOTSTRAP SOLUTION, AND
AN APPLICATION TO FAILED-BANK ACQUISITIONS
Year: 1998

16/6/23 (Item 2 from file: 35)
790360 ORDER NO: AAD82-23297
THREE ESSAYS ON LABOR MARKETS WITH IMPERFECT INFORMATION
Year: 1982

16/6/24 (Item 1 from file: 2)
07565435
Title: Pricing reliability: a probabilistic approach
Book Title: LESCOPE 99. 1999 Large Engineering Systems Conference on Power
Engineering. Conference Proceedings. Theme: Meeting the Mileneum Power
Challenge
Publication Date: 1999
INSPEC Update Issue: 2000-015
Copyright: 2000, IEE

16/6/25 (Item 2 from file: 2)
07550282
Title: Chartwell Underwriters' e-commerce strategy
Publication Date: March-April 2000
INSPEC Update Issue: 2000-013
Copyright: 2000, IEE

16/3,K/24 (Item 1 from file: 2)
DIALOG(R)File 2:INSPEC
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07565435

Title: Pricing reliability: a probabilistic approach
Author(s): Prada, J.F.; Ilic, M.D.
Author Affiliation: MIT, Cambridge, MA, USA
Book Title: LESCOPE 99. 1999 Large Engineering Systems Conference on Power Engineering. Conference Proceedings. Theme: Meeting the Mileneum Power Challenge
Inclusive Page Numbers: 292-302
Publisher: Large Eng. Syst, Halifax, NS
Country of Publication: Canada
Publication Date: 1999
Conference Title: Proceedings of 1999 Large Engineering Systems Conference on Power Engineering
Conference Date: 20-22 June 1999
Conference Location: Halifax, NS, Canada
Conference Sponsor: IEEE Power Eng. Soc
Number of Pages: viii+306
Language: English
Subfile(s): B (Electrical & Electronic Engineering); E (Mechanical & Production Engineering)
INSPEC Update Issue: 2000-015
Copyright: 2000, IEE
Abstract: ...of operating reserve in power systems through competitive capacity markets using a probabilistic approach. The **insurance** features of operating reserve are used to **derive a valuation model** that is analytically consistent and reflects the economic value of increased reliability to customers. The...

...the form of a demand curve for operating reserve. This curve can be used in **auction**-type capacity markets to determine the amount of reserve to be provided and its trading...

16/3,K/25 (Item 2 from file: 2)
DIALOG(R)File 2:INSPEC
(c) 2010 The IET. All rts. reserv.

07550282

Title: Chartwell Underwriters' e-commerce strategy
Author(s): Shirley, J.
Journal: Information Management & Technology, vol.33, no.2, pp.88-9
Publisher: Cimtech
Country of Publication: UK
Publication Date: March-April 2000
ISSN: 0266-6960

SICI: 0266-6960(200003/04)33:2L.88:CUCS;1-N

CODEN: IMTHEM

Language: English

Subfile(s): D (Information Technology for Business); E (Mechanical & Production Engineering)

INSPEC Update Issue: 2000-013

Copyright: 2000, IEE

Abstract: It was recognising the necessity of extending the openness of its network, especially to partners' trading systems and to deliver better access to management information, that initiated a substantial IT project at Chartwell Underwriting Ltd. Chartwell Underwriting is a commercial lines insurance company, specialising in commercial liabilities and professional indemnity. Customers vary from large councils to individuals...

...from a legacy environment based upon third generation mainframe technology. Chartwell was looking for an insurance system but in 1996 when it began its market search, it found that there was...

...Toubro Information Technology Ltd. LTITL offered Chartwell an open systems environment that represented a 50 per cent reduction in development costs

B. Full-text Databases

Full text NPL files - 1

? show files;ds;cost;logoff hold

File 20:Dialog Global Reporter 1997-2010/Jun 03

(c) 2010 Dialog

Set	Items	Description
S1	5459844	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S2	11025	S1(S)(AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N)(SYSTEM OR SYSTEMS OR SERVICE))
S3	11025	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S4	11025	AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING - OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-)(SYSTEM OR SYSTEMS OR SERVICE)
S5	3115	BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE OR INDICATOR OR INDEX
S6	530	(S5 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PRESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2N)(PRICE OR VALUE OR VALUATION)
S7	2634	VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERMINED?? OR PROPORTIONA??
S8	6090	RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR PROPORTION OR SHARE
S9	1824	S3(5N)S4
S10	2	S6(7N)S7(7N)S8
S11	0	S9(S)S10
S12	901	S3(S)S4(S)(S6 OR S7)(S)S8
S13	29	S9(S)S12
S14	29	S9(2S)S12
S15	2	S13 NOT (PY>2000 OR PD=20001003:20001231)
S16	2	RD (unique items)

16/3,K/1
DIALOG(R)File 20:Dialog Global Reporter
(c) 2010 Dialog. All rts. reserv.

05256680 (USE FORMAT 7 OR 9 FOR FULLTEXT)
PRNewswire Midwest Summary Monday, May 10 to 4 P.M. EST
PR NEWSWIRE
May 10, 1999
JOURNAL CODE: WPRW LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 1329

... General Hospital 'Traumatizes' Local Students CGM010 05/10/1999
08:30 r f bc-IL-Insurance-Auto (SCHAUMBURG) Insurance Auto
Auctions Introduces FastTrack Appraisal Services CGM022 05/10/1999
08:30 r f bc-IL-Grainger...

... f bc-IL-Allstate-Putnam-JV (NORTHBROOK) Putnam Investments, Allstate
Life Joint Venture Introduces First Variable Annuity Product CGM016
05/10/1999 09:30 r f bc-IL-Dilenschneider-Grp (CHICAGO...

16/3,K/2
DIALOG(R)File 20:Dialog Global Reporter
(c) 2010 Dialog. All rts. reserv.

01869251
FRA to Auction Stocks Held by 56 Closed-Down Firms on Friday
from BUSINESS DAY (Bangkok), May 13, 1998
BUSINESS DAY (THAILAND)
May 13, 1998
JOURNAL CODE: FBDY LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 390

... revive Thailand's finance sector to a healthy level. Other shares
included in Friday's auction are: Pakpanang Coldstorage, Safety
Insurance , National Petrochemical, Prasit Development, International
Engineering and unit trusts Ruang Khao High Income and Ruam...

Full text NPL files - 2

? show files;ds;cost;logoff hold
 File 634:San Jose Mercury Jun 1985-2010/Jun 02
 (c) 2010 San Jose Mercury News
 File 610:Business Wire 1999-2010/Jun 03
 (c) 2010 Business Wire.
 File 613:PR Newswire 1999-2010/Jun 03
 (c) 2010 PR Newswire Association Inc
 File 810:Business Wire 1986-1999/Feb 28
 (c) 1999 Business Wire
 File 813:PR Newswire 1987-1999/Apr 30
 (c) 1999 PR Newswire Association Inc
 File 626:Bond Buyer Full Text 1981-2008/Jul 07
 (c) 2008 Bond Buyer

Set	Items	Description
S1	746121	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S2	746121	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S3	15171	AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING - OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-)(SYSTEM OR SYSTEMS OR SERVICE)
S4	109332	BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE OR INDICATOR OR INDEX
S5	12946	(S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PR-ESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2-N)(PRICE OR VALUE OR VALUATION)
S6	101049	VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERMINED?? OR PROPORTIONA??
S7	327042	RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR PROPORTION OR SHARE
S8	919	S2(5N)S3
S9	103	S5(7N)S6(7N)S7
S10	0	S8(S)S9
S11	0	S2(S)S3(S)S5(S)S6(S)S7
S12	25	S2(S)S3(S)(S5 OR S6)(S)S7
S13	0	S3(S)S5(S)S6(S)S7
S14	4756	(S2 OR S3)(S)(S5 OR S6)(S)S7
S15	2	S14(S)(S8 OR S9)
S16	8206	S2(2S)((S5 OR S6)(S)S7)
S17	8	S16(S)(S8 OR S9)
S18	33	S12 OR S15 OR S17
S19	3	S18 NOT (PY>2000 OR PD=20001003:20001231)
S20	3	RD (unique items)

20/3,K/1 (Item 1 from file: 610)
DIALOG(R)File 610:Business Wire
(c) 2010 Business Wire. All rts. reserv.

00265530 20000426117B5835 (USE FORMAT 7 FOR FULLTEXT)

Fitch IBCA Rates Central DuPage Health -IL- \$200M Bds 'AA-'

Business Wire

Wednesday, April 26, 2000 11:22 EDT

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 595

TEXT: ...B, and C (Central DuPage Health). The \$100 million series A bonds will be Periodic Auction Reset Securities, while the \$50 million series B and \$50 million series C bonds will be variable rate demand bonds. Fitch IBCA is expected to assign short-term ratings to the series...

...at a later date. The series A bonds are likely to be supported by bond insurance, and the series B and C bonds are likely to be supported by a liquidity...

...results and substantially build up its liquidity. Within its core market, CDH has a market share of 56%, a percentage particularly strong when noting that the next hospital's market share is only 7%. Additionally, CDHealth benefits from being located in an area with 1.5...

20/3,K/2 (Item 2 from file: 610)
DIALOG(R)File 610:Business Wire
(c) 2010 Business Wire. All rts. reserv.

00207207 20000302062B3430 (USE FORMAT 7 FOR FULLTEXT)

Risk Capital Holdings, Inc. Repurchases XL Capital LTD's Interest in the Company
Business Wire

Thursday, March 2, 2000 14:48 EST

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 318

TEXT: ...8% of RCHI's outstanding common stock) for a purchase price of \$12.45 per share, for a total of approximately \$59.2 million, pursuant to a previously announced agreement. The per share repurchase price was determined as the lesser of (i) 85% of the average closingmarket price of RCHI's common stock for the twenty-day trading period beginning January 21, 2000...

20/3,K/3 (Item 1 from file: 813)
DIALOG(R)File 813:PR Newswire
(c) 1999 PR Newswire Association Inc. All rts. reserv.

0239179 SD001

JACK WHITE & CO. BECOMES FIRST STOCKBROKER TO TRADE NO LOAD FUNDS JUST LIKE STOCKS

DATE: February 1, 1990 08:01 EST WORD COUNT: 543

...offer no-load mutual funds. We were the first to offer our California clients 50 percent insurance commission rebates. And now we're the first to offer a fast, flexible, low-cost after hours mutual fund trading service. When it comes to major moves, we just like to be first."

Full text NPL files - 3

? show files;ds;cost;logoff hold

File 268:Banking Info Source 1981-2010/May W4

(c) 2010 ProQuest Info&Learning

File 9:Business & Industry(R) Jul/1994-2010/Jun 02

(c) 2010 Gale/Cengage

File 15:ABI/Inform(R) 1971-2010/Jun 02

(c) 2010 ProQuest Info&Learning

File 16:Gale Group PROMT(R) 1990-2010/Jun 03

(c) 2010 Gale/Cengage

File 148:Gale Group Trade & Industry DB 1976-2010/Jun 03

(c) 2010 Gale/Cengage

File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group

Set Items Description

S1 2930177 INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR -
RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)

S2 2930177 INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR -
RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)

S3 61238 AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING -
OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-
(SYSTEM OR SYSTEMS OR SERVICE)

S4 465380 BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR
REFERENCE OR INDICATOR OR INDEX

S5 52396 (S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PR-
ESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2-
N)(PRICE OR VALUE OR VALUATION)

S6 396038 VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE
OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERM-
INED?? OR PROPORTIONA??

S7 1078605 RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR
PROPORTION OR SHARE

S8 2593 S2(5N)S3

S9 919 S5(7N)S6(7N)S7

S10 1 S8(S)S9

S11 5 S2(S)S3(S)S5(S)S6(S)S7

S12 149 S2(S)S3(S)(S5 OR S6)(S)S7

S13 6 S12(S)(S8 OR S9)

S14 470 S3(S)(S5 OR S6)(S)S7

S15 6 S14(S)(S8 OR S9)

S16 215 S2(2S)S14

S17 99 S3(10N)(S5 OR S6)(10N)S7

S18 15 S2(S)S17

S19 35 S2(2S)S17

S20 46 S10 OR S11 OR S13 OR S18 OR S19

S21 17 S20 NOT (PY>2000 OR PD=20001003:20001231)

S22 15 RD (unique items)

22/6/1 (Item 1 from file: 15)
01891386 05-42378 **USE FORMAT 7 OR 9 FOR FULL TEXT**
Tax increment debt finance: An analysis of the mainstreaming of a fringe sector
Spring 1999 LENGTH: 21 Pages
WORD COUNT: 8452

22/6/2 (Item 2 from file: 15)
01672386 03-23376 **USE FORMAT 7 OR 9 FOR FULL TEXT**
Web-auction stocks on rise
Jul 27, 1998 LENGTH: 1 Pages
WORD COUNT: 296

22/6/3 (Item 3 from file: 15)
01583870 02-34859 **USE FORMAT 7 OR 9 FOR FULL TEXT**
Banking and broker/dealing in Russia
Nov 1997 LENGTH: 2 Pages
WORD COUNT: 1408

22/6/4 (Item 4 from file: 15)
01575559 02-26548 **USE FORMAT 7 OR 9 FOR FULL TEXT**
Regulation of banks and broker-dealers in Russia
Jan 1998 LENGTH: 2 Pages
WORD COUNT: 1402

22/6/5 (Item 5 from file: 15)
01544386 01-95374 **USE FORMAT 7 OR 9 FOR FULL TEXT**
What am I bid?
Oct 1997 LENGTH: 3 Pages
WORD COUNT: 2320

22/6/6 (Item 6 from file: 15)
00960974 96-10367 **USE FORMAT 7 OR 9 FOR FULL TEXT**
Segmentation, differentiation, and flexible pricing: Experiences with
information technology and segment-tailored strategies
Fall 1994 LENGTH: 28 Pages
WORD COUNT: 12842

22/6/7 (Item 1 from file: 148)
10352745 SUPPLIER NUMBER: 20967598 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Web-auction stocks on rise. (Industry Trend or Event)
July 27, 1998
WORD COUNT: 309 LINE COUNT: 00028

22/6/8 (Item 2 from file: 148)
09908271 SUPPLIER NUMBER: 20055592 (USE FORMAT 7 OR 9 FOR FULL TEXT)
What am I bid? (unresolved receiverships)
Oct, 1997
WORD COUNT: 2520 LINE COUNT: 00208

22/6/9 (Item 3 from file: 148)
06226601 SUPPLIER NUMBER: 12877537 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Siting noxious facilities: an approach that integrates technical, economic,
and political considerations.
August, 1992
WORD COUNT: 11676 LINE COUNT: 00974

22/6/10 (Item 4 from file: 148)
06219806 SUPPLIER NUMBER: 13277508 (USE FORMAT 7 OR 9 FOR FULL TEXT)
U.S. mergers and acquisitions. (The M&A Rosters: First Quarter 1992)
July-August, 1992
WORD COUNT: 79730 LINE COUNT: 07395

22/6/11 (Item 5 from file: 148)
05200785 SUPPLIER NUMBER: 10918079 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Going, going gone (we hope). (auctions as tools for asset disposition of banks)
June, 1991
WORD COUNT: 3052 LINE COUNT: 00236

22/6/12 (Item 6 from file: 148)
04921376 SUPPLIER NUMBER: 09055826 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Staying afloat: the real-estate crash buffets the nation's banks - and the
economy. (Cover Story)
Nov 12, 1990
WORD COUNT: 3266 LINE COUNT: 00250

22/6/13 (Item 7 from file: 148)
03278654 SUPPLIER NUMBER: 05100256 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Hartford Fire Insurance Company announces public offering.
Aug 11, 1987
WORD COUNT: 440 LINE COUNT: 00034

22/6/14 (Item 8 from file: 148)
02339578 SUPPLIER NUMBER: 03599864 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Lincoln National Corp. releases additional information on Dutch auction held Wednesday.
Jan 11, 1985

WORD COUNT: 480 LINE COUNT: 00037

22/6/15 (Item 9 from file: 148)
02339424 SUPPLIER NUMBER: 03598720 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Lincoln National Corp. declares dividend.
Jan 10, 1985
WORD COUNT: 395 LINE COUNT: 00031

Full text NPL files - 4

? show files;ds;cost;logoff hold

File 275:Gale Group Computer DB(TM) 1983-2010/Apr 23

(c) 2010 Gale/Cengage

File 621:Gale Group New Prod.Annou.(R) 1985-2010/Apr 14

(c) 2010 Gale/Cengage

File 636:Gale Group Newsletter DB(TM) 1987-2010/Jun 03

(c) 2010 Gale/Cengage

File 267:Finance & Banking Newsletters 2008/Sep 29

(c) 2008 Dialog

File 624:McGraw-Hill Publications 1985-2010/Jun 03

(c) 2010 McGraw-Hill Co. Inc

File 625:American Banker Publications 1981-2008/Jun 26

(c) 2008 American Banker

Set	Items	Description
S1	794452	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S2	794452	INSURANCE OR REINSURANCE OR (DAMAGE OR DAMAGES OR RISK OR - RISKS OR INVESTMENT)(2N)(COVERAGE OR RESTITUTION OR INDEMNITY)
S3	14861	AUCTION OR AUCTIONS OR AUCTIONING OR COMPETITIVE()(BUYING - OR PURCHAS??? OR BIDDING OR BIDS) OR (TRADING OR MATCHING)(2N-)(SYSTEM OR SYSTEMS OR SERVICE)
S4	129157	BENCHMARK OR BENCH()MARK OR MODEL OR YARDSTICK OR REFERENCE OR INDICATOR OR INDEX
S5	15036	(S4 OR SETTLEMENT OR CLOSING OR PREDEFINED OR PRESET OR PR-ESELECTED OR PREDETERMINED OR PREESTABLISHED OR PREVAILING)(2-N)(PRICE OR VALUE OR VALUATION)
S6	97463	VARIABLE OR CHANGABLE OR CHANGEABLE OR MUTABLE OR FLEXIBLE OR SLIDING OR DERIV??? OR CORRELAT??? OR CORELAT??? OR DETERMINED?? OR PROPORTIONA??
S7	286193	RATIO OR PERCENTAGE OR PERCENT OR PER()CENT OR QUOTIENT OR PROPORTION OR SHARE
S8	839	S2(5N)S3
S9	75	S5(7N)S6(7N)S7
S10	0	S8(S)S9
S11	7	S2(S)S3(S)S5(S)S6(S)S7
S12	80	S2(S)S3(S)(S5 OR S6)(S)S7
S13	0	S12(S)(S8 OR S9)
S14	4562	(S2 OR S3)(S)(S5 OR S6)(S)S7
S15	2	S14(S)(S8 OR S9)
S16	82	S11 OR S12 OR S15
S17	40	S16 NOT (PY>2000 OR PD=20001003:20001231)
S18	38	RD (unique items)

18/6/1 (Item 1 from file: 275)

02283729 SUPPLIER NUMBER: 54207507 (USE FORMAT 7 OR 9 FOR FULL TEXT)
IT Services: GEIS Sets Pace of VAN Evolution.
March 25, 1999
WORD COUNT: 540 LINE COUNT: 00048

18/6/2 (Item 1 from file: 636)
04710686 Supplier Number: 63134954 (USE FORMAT 7 FOR FULLTEXT)
ENERGY LIBERALISATION: BUSINESS GROUP DEBATES FUTURE ENERGY
MARKET.(Government Activity)(International Pages)(Brief Article)
July 1, 2000
Word Count: 673

18/6/3 (Item 2 from file: 636)
04706521 Supplier Number: 63064586 (USE FORMAT 7 FOR FULLTEXT)
ENERGY LIBERALISATION: BUSINESS GROUP DEBATES FUTURE ENERGY MARKET.
June 30, 2000
Word Count: 673

18/6/4 (Item 3 from file: 636)
04070379 Supplier Number: 53561336 (USE FORMAT 7 FOR FULLTEXT)
THE WHITE HOUSE: Radio address paper on promoting manufacturing exports to
sustain US jobs.
Jan 12, 1999
Word Count: 1483

18/6/5 (Item 4 from file: 636)
04070376 Supplier Number: 53561333 (USE FORMAT 7 FOR FULLTEXT)
THE WHITE HOUSE: Remarks by the President to the Economic Club of Detroit.
Jan 12, 1999
Word Count: 7962

18/6/6 (Item 5 from file: 636)
04043268 Supplier Number: 53412478 (USE FORMAT 7 FOR FULLTEXT)
EU/US: EUROPEAN COMMISSION RAPS AMERICANS ON TRADE BARRIERS.
Dec 10, 1998
Word Count: 1406

18/6/7 (Item 6 from file: 636)
04021505 Supplier Number: 53255783 (USE FORMAT 7 FOR FULLTEXT)
-WORLD AGRICULTURAL OUTLOOK BOARD: Agricultural outlook -- Part III of III.
Nov 23, 1998
Word Count: 7217

18/6/8 (Item 7 from file: 636)
03901460 Supplier Number: 50075620 (USE FORMAT 7 FOR FULLTEXT)
-ANDERSEN CONSULTING: Andersen & PeopleSoft to co-develop profitability
management solutions
June 11, 1998
Word Count: 1517

18/6/9 (Item 8 from file: 636)
03523124 Supplier Number: 47275956 (USE FORMAT 7 FOR FULLTEXT)
CATASTROPHE INDICES
April 7, 1997
Word Count: 1240

18/6/10 (Item 9 from file: 636)
01764841 Supplier Number: 42927241 (USE FORMAT 7 FOR FULLTEXT)
Kennedy-Wilson, Inc.
April 20, 1992
Word Count: 245

18/6/11 (Item 1 from file: 267)
04570565
Short Takes
September 4, 2000
WORD COUNT: 1365
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/12 (Item 2 from file: 267)
04570118
LEGAL: Phoenix Shareholders Sue in Buyout
August 21, 2000
WORD COUNT: 608
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/13 (Item 3 from file: 267)
04561125
Disruptive Technologies Alter Future For Banks
January 19, 2000 E
WORD COUNT: 1302
(c) PHILLIPS PUBLISHING INTERNATIONAL All Rts. Reserv.

18/6/14 (Item 4 from file: 267)
04558737

Pantheon closes secondary fund
November 1,1999
WORD COUNT: 626
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/15 (Item 5 from file: 267)
04558138
Pantheon Holds \$150 Million Close
November 1,1999
WORD COUNT: 471
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/16 (Item 6 from file: 267)
04558014
Family Feuds
November 1,1999
WORD COUNT: 2533
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/17 (Item 7 from file: 267)
04556297
ResettingThe Playing Field For Mid-Market M&A
October 1,1999
WORD COUNT: 5678
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/18 (Item 8 from file: 267)
04555093
The Two IPOs of the Century?
August 1,1999
WORD COUNT: 1285
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/19 (Item 9 from file: 267)
04551839
Scrambling for the Top: With the high-grade corporate debt market
shifting, rivals begin to shake Merrill's lofty perch
June 14,1999
WORD COUNT: 4809
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/20 (Item 10 from file: 267)

04551097

Dutch Masters: ING, already a major international player, has its sights set on the U.S. financial services marketplace.

June 1, 1999

WORD COUNT: 2632

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/21 (Item 11 from file: 267)

04548539

TURKEY, Sustaining the unsustainable

April 10, 1999

WORD COUNT: 3782

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18/6/22 (Item 12 from file: 267)

04548225

EQUITY CAPITAL MARKETS, Internet, finance sectors in vogue as eBay nets \$1.1bn, Goldman raises price range

April 16, 1999

WORD COUNT: 1362

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/23 (Item 13 from file: 267)

04547613

At DeadlineSunAmerica Fund Minimizes Tax Impact

March 15, 1999

WORD COUNT: 1197

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18/6/24 (Item 14 from file: 267)

04547476

Wall Street

March 29, 1999

WORD COUNT: 1332

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/25 (Item 15 from file: 267)

04545782

Deals of the Year, It's the taking part that counts

February 10, 1999

WORD COUNT: 3366

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/26 (Item 16 from file: 267)
04544898
European Equities, The great equity rebalancing act
January 10, 1999
WORD COUNT: 4109
(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/27 (Item 17 from file: 267)
04543715
Latin American Borrowing, Advent of the non-deal roadshow
December 10, 1998
WORD COUNT: 4086
(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/28 (Item 18 from file: 267)
04536617
DERIVATIVES, Exchanges - who needs them?
July 10, 1998
WORD COUNT: 3948
(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/29 (Item 19 from file: 267)
00040573
Yorkshire and Humberside Corporate Finance Built on Strong Foundations
December 1, 1997
WORD COUNT: 2251
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/30 (Item 20 from file: 267)
00040416
Bank Mergers, The plunder of UBS
March 199 00,
WORD COUNT: 3682
(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/31 (Item 21 from file: 267)
00038271
IPOs Squeak Out Just In Time
December 22, 1997
WORD COUNT: 794
(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

18/6/32 (Item 22 from file: 267)
00033462
Price Protections In Stock-Swap Transactions
September/October, 1997
WORD COUNT: 4323
(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

18/6/33 (Item 23 from file: 267)
00032970
Repriming The M&A Engine For More Action
May/June, 1997
WORD COUNT: 5583
(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

18/6/34 (Item 24 from file: 267)
00028038
Do the Target's Telecom Assets Add Value to the Deal?
January/February, 1997
WORD COUNT: 3431
(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

18/6/35 (Item 25 from file: 267)
00028037
Why Acquirers Continue to Raise Their Sights
January/February, 1997
WORD COUNT: 5564
(c) INVESTMENT DEALERS DIGEST All Rts. Reserv.

18/6/36 (Item 26 from file: 267)
00024896
Emerging Markets, Brazil, Treasuries go longer
May 1997 00,
WORD COUNT: 900
(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

18/6/37 (Item 27 from file: 267)
00022240
Spain-Public And Private Sector Restructuring Brings Acquisition
Opportunities
March 1,1997
WORD COUNT: 1795
(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

18/6/38 (Item 1 from file: 625)
0072691

Market highs and lows teetering at the balance point
November 1, 1993

18/3,K/18 (Item 8 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
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04555093

The Two IPOs of the Century?

William Hoffman

Traders

August 1,1999 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH WORD COUNT: 1285 RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT: ...organization. Big Board Chairman Richard Grasso was quoted in May saying that, with only 18 percent of trading systems capacity used during an average day, analysts and shareholders might demand a career change for...talk with the industry and the regulators about it."

Industry experiences with the demutualization of insurance companies and public offerings by banks and brokerages offer some guidance.

"The Nasdaq initial public...issue fails is less clear. Obviously, fewer people would make money on the stock. But sliding performance of listed stocks would reflect poorly on other exchange listed stocks, Cervený and Barth...

18/3,K/28 (Item 18 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
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04536617

DERIVATIVES, Exchanges - who needs them?

Euromoney Magazine

July 10, 1998 PAGE: 33, 037 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: EUROMONEY ELECTRONIC PUBLICATIONS

LANGUAGE: ENGLISH WORD COUNT: 3948 RECORD TYPE: FULLTEXT

(c) EUROMONEY ELECTRONIC PUBLICATIONS All Rts. Reserv.

TEXT: ...chief executive of the CME. But he doubts whether another jurisdiction would now be as flexible as Singapore, which at that time was desperate to develop the futures business. Switzerland and...and a CBB, and that the Chicago exchanges and the GSCC must surrender some market share.

Even more interesting, if it succeeds, is Swapclear, a project by the London Clearing House...the CFTC, "is the holy grail of our accounting system. And because there's no insurance system on the futures side, the rules are highly restrictive. We're now looking very...still make them competitive. But CBB claims that its MarketPower technology, the "first truly interactive system for trading US treasuries", is extremely fast.

IV. Additional Resources Searched

Searches were done in two template files not available through DIALOG, the Internet and Personal Computing Abstracts and the Financial Times, but there were no results.